

Schedule 58

DEPARTMENT OF ENVIRONMENTAL QUALITY

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

**REQUEST FOR APPROVAL OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	SCHEDULE NUMBER
	58
	AGENCY, BOARD OR COMMISSION
	DEPARTMENT OF ENVIRONMENTAL QUALITY
	DIVISION, BUREAU OR OTHER UNIT
	Supersedes Edition of June 27, 1994

PART I -- AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.	
SIGNATURE	
* <i>Candi Bazata</i>	
TITLE	DATE
<i>Personnel Assistant</i>	<i>2-9-96</i>

PART II -- ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.	
SIGNATURE	
* <i>Andrea I. P. I.</i>	
STATE ARCHIVIST	DATE
	<i>Feb. 14, 1996</i>

PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.	
SIGNATURE	
* <i>[Signature]</i>	
ADMINISTRATOR	DATE
	<i>2-22-96</i>

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of agency records, regardless of the media on which they reside. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 58 - DEPARTMENT OF ENVIRONMENTAL QUALITY

58-1 WATER QUALITY DIVISION

58-1-1 WASTE WATER FACILITIES SECTION (Water Quality)

58-1-1-1 SEWAGE TREATMENT PROJECT FILES, FEDERAL AND STATE GRANTS

Record of federal and state sewage treatment project grants to Nebraska communities. Records include correspondence, grant agreements for the planning, design, and construction stages of the project, amendments to agreements, and payment documents.
ORIGINAL RECORD: Microfilm selected documents after grant closing; then transfer entire file to the Federal Record Center.
SECURITY MICROFILM: Transfer to State Archives; dispose of after 100 years.
MICROFILM WORK COPY: Dispose of after 100 years.

58-1-1-2 SEWAGE TREATMENT PROJECT LEDGER

Record of payments to each community, the project number, any changes to the project, etc.
Dispose of 10 years after the project is completed, provided audit has been completed.¹

58-1-1-3 PROJECT PRIORITY RATING FILE

Resource information extracted from other divisions of DEQ used to prepare the Project Priority List.
Transfer to the State Records Center after 2 years; dispose of after 10 years.

58-1-1-4 PROJECT PRIORITY LIST

Ranking of all pending sewage treatment projects in order of their need for a grant.
Dispose of after 10 years.

58-1-1-5 SEWAGE PROJECT APPROVAL FILES - FEDERALLY FUNDED

Documents received and generated in the process of approving community sewage projects receiving federal funds. Includes transmittal letters, review letters, facility plans, construction plans and specifications, construction approval letters, final inspection reports, operation and maintenance manuals.
ORIGINAL RECORD: Microfilm selected documents after grant closing; then transfer entire file to the Federal Record Center.
SECURITY MICROFILM: Transfer to State Archives; dispose of after 100 years.
MICROFILM WORK COPY: Dispose of after 100 years.

58-1-1-6 SEWAGE PROJECT APPROVAL FILES - MICROFILM INDEX

Index cards to approval files, includes project reference number, approval date, type of project, and roll number.
ORIGINAL RECORD: Microfilm and destroy annually.
SECURITY MICROFILM: Transfer to State Archives; dispose of after 100 years.
MICROFILM WORK COPY: Dispose of after 100 years.

58-1-1-7 SEWAGE PROJECT APPROVAL FILES - NON-FEDERAL

Documents received and generated in the process of approving community sewage projects not receiving federal funds. Includes copy of specifications and plans, letters requesting revision of plans, and final approval of letters.

ORIGINAL RECORD: Microfilm and destroy after grant closing.

SECURITY MICROFILM: Transfer to State Archives; dispose of after 100 years.

MICROFILM WORK COPY: Dispose of after 100 years.

58-1-1-8 NEED SURVEYS

Surveys performed by this division at the request of Congress, usually biannually. A representative sampling of Nebraska towns are surveyed to find what is needed to bring sewage collection and treatment plants to an acceptable condition.

Transfer to the State Records Center after 2 years; dispose after 5 years.

58-1-2 PERMITS AND COMPLIANCE SECTION (Water Quality)

58-1-2-1 COOLING TOWER WAIVERS

Waivers issued jointly by the EPA, Federal Power Commission, and the DEQ concerning plans to build plants which do not need cooling towers. Includes plans, specifications, operation and maintenance manuals, and copies of Environmental Quality's review.

ORIGINAL RECORD: Microfilm and destroy annually.

SECURITY MICROFILM: Transfer to State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-1-2-2 EFFLUENT GUIDELINES

Rules and regulations prepared on allowable emissions of pollution.

Dispose of after superseded.

58-1-2-3 PERMIT TO DISCHARGE WASTES

Includes request for permits and permits issued by the DEQ to operators of plants who intend to discharge wastes. The permits outline to the plant operators the compliance schedule (i.e. the deadlines for bringing discharges to acceptable levels) and the limits of discharges permitted at any time.

Transfer to the State Records Center after 6 years; dispose of after 10 years.

58-1-2-4 DISCHARGE MONITORING REPORTS (DMRs)

Plant operators complete Monitoring Reports on plant operations operating under a Permit to Discharge Wastes.

ORIGINAL RECORD: Microfilm and destroy annually.

SECURITY MICROFILM: Transfer to State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-1-2-5 PERMIT INSPECTIONS

The Department monitors permits and completes inspection forms when random visits are made.

Transfer to the State Records Center after 6 years; dispose of after 10 years.

58-1-2-6 COMPLIANCE MONITORING

Random effluent monitoring is done annually. City systems which are monitored have permits to operate. Includes water quality analysis and raw data sheets.

ORIGINAL RECORD: Microfilm and destroy.

SECURITY MICROFILM: Transfer to State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-1-3 SURFACE WATER SECTION (Water Quality)

58-1-3-1 WATER QUALITY REPORTS

Biennially published report of program progress and status. Files include supporting documentation.

REPORT: Sent to the Library Commission Publications Clearinghouse upon publication.

SUPPORTING DATA: Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-3-2 DREDGE AND FILL CORRESPONDENCE INVOLVING U.S. ARMY CORPS OF ENGINEERS SECTION 404 PERMITS

Application and correspondence concerning the approval of Section 404 permits to place fill or dredged material in surface waters of the state. Includes material on required Section 401 Water Quality Certifications for the 404 permits.

ISSUANCE OR DENIAL OF 401 WATER QUALITY CERTIFICATION: Transfer to the State Records Center after 5 years; dispose of after 30 years.

ALL OTHER RECORDS: Dispose of after 5 years.

58-1-3-3 ENVIRONMENTAL IMPACT STUDIES

Studies prepared by firms before, during, and after the construction of plants whose operation might affect the water temperature and other environmental factors.

Transfer to the State Records Center after 5 years; dispose of 10 years after construction is completed, subject to review by the State Archives before disposal for possible accession.

58-1-3-4 EPA LAKE STUDIES

Pollution studies prepared by EPA on Nebraska lakes.

Dispose of after superseded.

58-1-3-5 LAKE POLLUTION DATA

Information concerning the pollution of water in Nebraska lakes. Summary of this information is published in Biennial Water Quality Reports.

Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-3-6 LEVEL B STUDIES

Includes Platte Level "B" Studies and supportive data. These studies are prepared by the Natural Resources Commission with supportive data and assistance from the DEQ.

STUDY: Dispose of when superseded, rescinded or obsolete.

SUPPORTING DATA: Dispose of after 5 years.

58-1-3-7 STORET FILES

Surface Water Analysis records which include information on lakes, rivers, etc. in Nebraska. Information includes legal description of location of sampling station, depth of water, foreign materials present, etc.

Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-3-8 STORET WEEKLY UPDATES

Weekly computer report lists all data entered into the EPA systems from the Water Quality Division during the past week, when and by whom. Information is used in the preparation of a variety of reports produced by the department.

Dispose of after completion of reports.

58-1-3-9 WATER QUALITY MANAGEMENT PLAN

Plans developed by the Natural Resources Commission which are reviewed by DEQ. Files include interim plans, 1st drafts, and final drafts, the last which is published. Plan is sent to the Library Commission Publication Clearinghouse upon publication.

Dispose of after completion of final report or study.

58-1-3-10 AMBIENT MONITORING

River systems are monitored at thirty-two sites throughout the state. Fish flesh samples are taken for analysis by the EPA. Data is used in determining long term trends in the quality and composition of life in river system environments.

Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-3-11 CONTINGENCY PLAN

Plans developed for emergency responses to oil or hazardous waste spills.

Dispose of after superseded.

58-1-3-12 FISH KILL FILE

Files regarding large scale fish kills which result from natural or chemical causes.

Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-3-13 INTENSIVE SURVEY

Water system areas may require intensive surveys because of changing environmental conditions. This includes intense monitoring of chemical and biological conditions.

Transfer to the State Records Center after 10 years; dispose of after 20 years.

58-1-4 GROUND WATER SECTION (Water Quality)

58-1-4-1 OIL/HAZARDOUS SPILL REPORTS

Spill reports are compiled whenever oil or hazardous waste material is spilled. Data includes the spill report and followup.

Transfer to the State Records Center after 2 years; dispose of after 10 years.

58-1-4-2 UNDERGROUND STORAGE TANK PROGRAM (UST)

Files may include initial reports of underground leaks; agency follow-up investigation reports; remedial action required; the outside contractor's review of the incident, their suggested actions and any actions taken; monitoring records, etc. The files also include general information on the UST program.

Transfer to the State Records Center 1 year after case is closed; dispose of 10 years after case is closed.

58-1-4-3 LEAKING UNDERGROUND STORAGE TANKS PROPOSALS

Unawarded proposals from contractors on-site cleanups.

Dispose of after 5 years.

58-1-4-4 LEAKING UNDERGROUND STORAGE TANKS COST RECOVERY

Time sheets, disbursement documents, and ITD's charged to LUST.

Dispose of after 10 years.

58-2 LEGAL DIVISION

58-2-1 ADMINISTRATIVE PROCEEDINGS FILE

Records of quasi-judicial Environmental Quality Administration proceedings concerning violators of Department of Environmental Quality standards. Files include legal pleadings, evidence, complaints from field inspectors or public, and correspondence.

Transfer to the State Records Center 2 years after case is closed; dispose of 10 years after case is closed, subject to review by the State Archivist before disposal for possible accession.

58-2-2 CASE FILES

Records concerning Environmental Quality court cases against violators of DEQ standards. Files include pleadings, briefs, evidence, and correspondence.

Transfer to the State Records Center 2 years after case is closed; dispose of 10 years after case is closed, subject to review by the State Archivist before disposal for possible accession.

58-2-3 HEARING FILES

Records concerning public hearings held or to consider adoption of regulations, project priority lists and Environmental Quality standards. Files include orders appointing hearing officer, notice of hearings, proof of publication of notice, transcripts of proceedings, and correspondence.

Transfer to the State Records Center 2 years after case is closed; dispose of 15 years after case is closed, subject to review by the State Archivist before disposal for possible accession.

58-2-4 MEMORANDUM OPINIONS

DEQ's legal counsel opinions on legal questions raised by staff members. These opinions will be collected and published periodically.

Transfer to the State Records Center after 2 years; dispose of after 15 years, subject to review by the State Archivist before disposal for possible accession.

58-5 AIR QUALITY DIVISION

58-5-1 AIR CONTAMINATION EMISSION REPORT

Annual reports on pollution emission prepared by plant operators. Information includes firm name, amount of material processed, and estimated emission. Besides the General Manufacturing Report, there are special reports for grain handlers, asphalt batch plants, rock quarries, dehydrating plants, and car plants.

Dispose of after 2 years.

58-5-2 AIR POLLUTION COMPLAINT FILE

All complaints received about air pollution. This file is used as a record of chronic polluters.

Dispose of after 10 years.

58-5-3 APPLICATIONS FOR PERMIT TO CONSTRUCT

Includes copies of Air Contamination Emission Report, pollution control equipment specifications and blueprints, copies of coal contracts, and fuel analysis reports from parties intending to build plants which are potential polluters. These files are divided into major projects and minor projects, the major project files giving important precedents which are used as reference for other projects.

MAJOR PROJECT FILES: Transfer to the State Records Center 1 year after project is completed; dispose of 10 years after project is completed, subject to review by the State Archivist before disposal for possible accession.

MINOR PROJECT FILES: Dispose of 2 years after the plant to which they refer is completed and in operation.

58-5-4 BURNING PERMITS

Copies of requests for permits to burn and of the permits themselves. Permits are issued for land-clearing and highway construction burning, hazardous waste burning, and plant and wildlife control burning.

Dispose of 1 year after permit expires.

58-5-5 POLLUTANT EMISSION INVENTORY

Computer report summary of Air Contamination Emission Report. Information includes firm name, amounts of material received, estimated emission, allowable emission, and compliance progress.

Dispose of after 2 years.

58-5-6 NEBRASKA AIR QUALITY REPORT

Annual publication on status of air pollution in Nebraska.

Dispose of according to Schedule #124, PUBLICATION FILES.

58-5-7 OPERATING PERMITS

Operating permits are issued for major air pollution existing sources and new or modified sources following demonstration of compliance with all applicable requirements.

Dispose of after superseded or 2 years after source ceases to operate, whichever is sooner.

58-6 LAND QUALITY DIVISION

58-6-1 AGRICULTURAL FEEDLOTS ENFORCEMENT MANAGEMENT SYSTEM

Includes name, location, size, type of feedlot, permit and inspection information.

DATA ENTRY DOCUMENTS: Microfilm and destroy annually.

SECURITY MICROFILM: Transfer to State Archives, retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-6-2 LIVESTOCK POLLUTION CONTROL FILES

Files on all major feed lots in the state. Each file includes correspondence, on-site inspection reports, complaints, reinspections, application for permits to build, construction plans, construction permits, approval letters, permit exemptions, and certification that construction complies with approved plan.

CORRESPONDENCE: Dispose of after 2 years.

ALL OTHER RECORDS: Dispose of 1 year after feed lot is abandoned.

58-6-3 LIVESTOCK POLLUTION SUMMARY

Computer report summary of Livestock Pollution Control Files.

Dispose of after 3 years.

58-6-4 SOLID WASTE DISPOSAL SITE AND COMPOST SITE FILES (Including Complaint and Information Files)

Five year licenses are granted to cities larger than 5000 population and private concerns operating garbage disposal and solid waste disposal facilities. Cities with a population of less than 5000 need not license. These files may include licensing, inspection, operation information, memoranda, correspondence concerning these facilities and letters requesting approval of site.

CORRESPONDENCE: Review and dispose of annually.

ALL OTHER RECORDS: Microfilm and destroy after 5 years.

SECURITY MICROFILM: Transfer to State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-6-5 CHEMIGATION PERMITS

Operating permits for chemigation systems are issued each year by Natural Resources Districts. Includes name, chemical use, and inspection information.

Dispose of 2 years after permit expires.

58-6-6 CHEMIGATION APPLICATOR CERTIFICATION TEST

Applicator certifications are issued following satisfactory completion of a written test.

Dispose of after renewal of certification or 1 year after expiration, whichever is sooner.

58-6-7 HAZARDOUS WASTE SECTION (Land Quality)

58-6-7-1 FINANCIAL ASSURANCES

Hazardous waste sites have the equivalent of a surety bond established. This is renewed annually.

Dispose of 10 years after final renewal.

58-6-7-2 HAZARDOUS WASTE QUARTERLY REPORT

Quarterly report to the EPA concerning grants.

Transfer to the State Record Center after 1 year; dispose of after 5 years.

58-6-7-3 RCRA INVESTIGATIONS

Resource Conservation Recovery Act (RCRA) investigations are made of hazardous waste storage facilities.

Transfer to the State Records Center after 2 years; dispose of after 10 years.

58-6-7-4 SUPERFUND PROPOSALS

Unawarded proposals from contractors on-site clean ups.

Dispose of after 10 years.

58-6-7-5 SUPERFUND COST RECOVERY

Time sheets, disbursement documents and ITD's charges to superfund.

Dispose of after 10 years.

58-6-8 LITTER PROGRAM (Land Quality)

58-6-8-1 LITTER REDUCTION AND RECYCLING GRANT FILES

Grants are generally given to communities and nonprofit organizations to finance litter reduction or recycling centers. Each grant is for one year and a typical file will include an application, grant award letter, quarterly reports, financial statements and a final report.

Dispose of 3 years after awarding of grant, provided audit has been completed.¹

58-7 LABORATORY SERVICES DIVISION

58-7-1 LABORATORY ANALYSIS RECORDS

Includes analysis, reports, data and bench sheets, etc.

Dispose of after 10 years.

58-8 GENERAL RECORDS (All Divisions)

58-8-1 CONSOLIDATED PROGRAM GRANT FILES

All divisions of the DEQ prepare and submit Division Grant Documents which are consolidated in the Consolidated Program Grant and sent in this form to Environmental Protection Agency (EPA). The grant request includes an introductory statement explaining legal authority, an organizational chart, a task priority list, output commitment statements and reports of prior progress.

AGENCY COPY: Dispose of 3 years after final payment, provided audit has been completed.¹

DIVISION COPY: Dispose of after end of the fiscal year.

58-8-2 INVESTIGATIONS

Investigations of citizen complaints on pollution problems. File includes complaint form and narrative investigation.

CASE RESULTING IN HEARING OR COURT CASE: Transfer to the State Records Center 2 years after case is closed; dispose of 10 years after case is closed.

CASES NOT RESULTING IN HEARING OR COURT CASE: Transfer to the State Records Center after 2 years; dispose of after 5 years.

58-8-3 GRANT DOCUMENTS

Grants are funded from different sources including the EPA. Grants are administered for studies, conducting training, initiating conservation projects or taking environmental samples. Includes applications, correspondence and financial reports.

Transfer to the State Records Center 1 year after agreement expires; dispose of 5 years after agreement expires, provided audit has been completed.¹

58-8-4 INTERAGENCY AGREEMENTS (IAGs) and MEMORANDA OF UNDERSTANDING (MOUs)

Agreements between the DEQ and other state agencies, particularly Policy Research and the Natural Resources Commission, for research and planning services. Files will include contracts if applicable.

Transfer to the State Records Center 1 year after agreement expires; dispose of 5 years after agreement expires, provided audit has been completed.¹

58-8-5 QUARTERLY REPORTS TO EPA

Quarterly financial reports to the EPA for funds provided for research and planning.

Transfer to the State Records Center 1 year after agreement expires; dispose of 5 years after agreement expires, provided audit has been completed.¹

58-8-6 RULES AND REGULATIONS

Records used to establish standards. Includes statistical documents, national standards, records of public meeting of hearings, former standards and new standards, the last of which are issued as Rules and Regulations.

ORIGINAL RECORD: Microfilm and destroy.

SECURITY MICROFILM: Transfer to State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

58-8-7 STATE EPA AGREEMENT

Agreements between the Department and the EPA concerning research and planning services.

Transfer to the State Records Center 1 year after agreement expires; dispose of 5 years after agreement expires, provided audit has been completed.¹

58-8-8 PUBLIC RECORDS: REQUESTS FOR INFORMATION (FOIA)

Requests for information from agency files, billings for copies made, etc.

Dispose of after 5 years.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

**(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK
ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS
ADEQUATE.)**

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal size	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load	50 cubic feet